

Order Number 935A**The Importance of Conducting a Security Self-Assessment**

When a site or facility becomes subject to on-site verification activities under an arms control treaty or agreement, the most important step that facility personnel can take to prepare for these events is to conduct a thorough security self-assessment. This assessment will provide facility commanders, managers, security staff, and treaty compliance officers with essential information about the facility's vulnerabilities, status of operations, and security countermeasures that are currently in place.

A security self-assessment is a systematic, analytical evaluation of a facility by its personnel. It identifies national security, proprietary, and other sensitive information that could be vulnerable to foreign inspection teams during on-site inspection activities. This assessment also examines the potential impact of information disclosure on the inspected facility's activities. Personnel possessing detailed information about the facility's security concerns and operations are best qualified to conduct the security self-assessment. When completed, the security self-assessment will serve as the foundation for developing the facility's strategy for demonstrating compliance while also protecting sensitive information from inadvertent disclosure.

As the United States' support of, and participation in, various arms control treaties and agreements has expanded, non-weapons-related facilities have also become subject to treaty provisions requiring data declarations and on-site inspection activities. Many facilities may



be unfamiliar with, and unprepared to handle, these compliance verification activities. To address facilities' needs and concerns, the U.S. Government will send arms control security and treaty experts to assist facility personnel with identifying vulnerabilities and with developing an effective plan to meet treaty obligations.

When an inspection notification is received, the U.S. Government will deploy an advance team to the impacted facility to assist facility staff with their site preparation activities. Advance teams include treaty experts who understand the rights and obligations of the inspection team as well as those of the inspected State Party. The advance team will also include experts on the application of appropriate security countermeasures. Since the amount of time available for site preparation activities will be limited, it will be essential for facility staff to be able to provide the results of the facility's security self-assessment to the advance team immediately upon their arrival.

Security self-assessments should be conducted when a facility becomes aware that it is subject to mandatory data declarations, on-site inspections, or other treaty compliance verification activities. A security self-assessment should include all

facility activities that could potentially be impacted by inspection activities. The assessment should also include information about the facility's geographic layout, buildings, other structures, equipment, processes, and sensitive operations. In particular, national security, proprietary, or other sensitive information need to be identified and addressed.



During inspection preparation activities, the security self-assessment will provide essential information to the advance team about what needs to be protected. The assessment will assist the advance team and facility staff in developing a plan for managing inspection activities. This plan will serve as a guide for determining how and where the inspection team will be allowed to have access to specific areas and information. A detailed and comprehensive security self-assessment will facilitate the advance team's ability to identify equities that require additional protection.

The security self-assessment will also assist facility personnel when preparing the required pre-inspection briefing (PIB). Many treaties obligate facility staff to present the PIB to the inspection team upon their arrival at the site. This briefing

introduces the inspection team to the site or facility, and covers facility operations, safety considerations, and other facility-specific information relevant to conducting inspection activities.



It is evident that the security self-assessment is important to all aspects of the inspection process. It is the first step for ensuring that facility personnel understand and conform to the compliance and verification provisions of relevant arms control treaties and agreements. It is an essential element supporting the development of an effective inspection preparation plan. It is also a vital tool for effectively managing inspection activities so that the United States can successfully demonstrate compliance, while also protecting national security, proprietary, and other sensitive information.

For additional information about conducting security self-assessments and the application of security counter-measures, contact the DTIRP Outreach Program Coordinator at 800-419-2899 or by email at dtirpoutreach@dtra.mil, your local Defense Security Service (DSS) Industrial Security Representative, or your government sponsor.